

POLICY: Transition Activities

POLICY STATEMENT: It is the policy of the Bureau of Developmental Disabilities Services (BDDS) to assure that individuals with a developmental disability who are transitioning from one residential setting to another, or from one service provider to another, receive services and supports appropriate to their needs. This policy applies to all moves and transitions within service models and from one service model to another.

DETAILED POLICY STATEMENT

1. When an individual is undertaking a transition that involves a change in living residence or service provider:
 - A. BDDS shall, in compliance with current Division of Disability and Rehabilitative Services (DDRS) policy, facilitate the following transition activities as may be indicated:
 - i. intake process;
 - ii. eligibility determination;
 - iii. transition planning;
 - iv. person centered planning;
 - v. develop or update individualized support plan;
 - vi. referral to providers;
 - vii. selection of providers;
 - viii. budget preparation;
 - ix. safety inspections;
 - x. home visits;
 - xi. pre and post transition monitoring; and
 - xii. other activities as may be needed to facilitate the transition.
 - B. Providers selected by the individual shall support the transition activities initiated on behalf of an individual by:
 - i. participating in transition planning;
 - ii. ensuring a safe environment;
 - iii. ensuring adequate staffing;
 - iv. training staff on the individual's :
 - a. Individualized Support Plan;
 - b. behavior plan/s;
 - c. risk plan/s;
 - d. health/medical needs; and
 - v. other activity as may be needed to support the transition.
2. BDDS is placement authority, and no transition shall occur without BDDS written approval, with the exception of emergency transition as defined in this policy.

3. Failure to receive BDDS approval prior to an individual transitioning as described in this policy shall result in suspension of all admissions to all residential sites managed by the provider, with the exception of emergency transition as defined in this policy.
4. Each action undertaken in compliance with this policy shall be documented in:
 - A. DART by the BDDS Service Coordinator (SC) or other BDDS employee; and
 - B. INSITE by the Case Manager or other employee of the Case Manager vendor.
5. Transitions addressed in this policy include:
 - A. Initial Moves:
 - i. Transitions from the Community (ex - a family home) to a Supported Living (SL) Community Residential Setting;
 - ii. Transitions from the Community (ex - a family home) to a Supervised Group Living (SGL) or Large Private ICF/MR (LP ICF/MR);
 - iii. Transitions from State Operated Facilities (SOF), nursing facilities (NF), children's facilities (CF), SGLs, or LP ICF/MRs to Supported Living Community settings; and
 - iv. Transitions from State Operated Facilities (SOF), nursing facilities (NF), children's facilities (CF), SGLs, or LP ICF/MRs to SGL settings.
 - B. Subsequent Moves:
 - i. Change of residential provider with change of address;
 - ii. Change of residential Provider without a change of address;
 - iii. Change of address, while keeping the same residential provider and IST;
 - iv. Change of residence with same residential provider, but moving to a new BDDS district;
 - v. Change of SGL or LP ICF/MR residence;
 - vi. Transitions to a nursing facility for a long term stay from a BDDS residential setting;
 - vii. Change in other waiver service provider;
 - viii. Transition to an Extensive Support Home (ESN); and
 - ix. Emergency Transitions.

DEFINITIONS

“BDDS”

“DDRS”

“Emergency Transition” means an unexpected transition from one residential location to another as a consequence of fire, flood, utility disruption, or other similar event making the original residence uninhabitable.

“Transition” means a change in an individual's physical residence, and/or service provider.

REFERENCES

460 IAC 6: Supported Living Services and Supports

PROCEDURE

Transitions from the Community (ex - a family home) to a Supported Living (SL) Community Residential Setting:

1. Following completion of the BDDS intake process, eligibility determination, ICAP referral, Medicaid eligibility, signature of consent to release of information, and the decision to pursue SL services funded by the DD or Autism waiver, the SC shall make a referral for Case management services to the state vendor for case management.
2. The selected CM shall ensure that each individual participates in a Person Centered Planning (PCP) process and that an Individualized Support Plan (ISP) is developed that adequately addresses the health, welfare and support needs of the individual prior to the transition occurring.
3. The CM shall ensure the individual has signed a Freedom of Choice Form (Attached) prior to any transition taking place.
4. The CM shall make referrals to providers chosen by the individual, or their legal representative, when indicated.
5. The CM shall complete a Plan of Care/Cost Comparison Budget.
6. The CM shall ensure the selected SL home is safe and clean via a site visit and satisfactory completion of the current BDDS Environmental Inspection Checklist form (Attached) prior to the transition occurring.
7. The CM shall schedule a pre-transition conference with the individual, the individual's legal representative, if indicated, the SC and all other selected providers, during which a transition plan is prepared using the most current BDDS Transition Plan form (Attached) that includes responsible parties and due dates for specific tasks.
8. The SC shall be responsible for:
 - a. entering information on the BDDS Transition Plan form; and
 - b. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
9. The CM shall be responsible for:
 - a. monitoring and documentation implementation of the BDDS transition plan; and
 - b. providing information and updates to SC regarding BDDS transition plan
10. The CM shall complete an on-site BDDS Transition Pre-Post Monitoring Checklist form 5 to 7 days prior to the proposed transition date, and ensure that prior to the transition occurring:
 - a. all items numbered 1 through 26 are scored; and
 - b. no "Hold" item as identified on the form is marked "NO".
11. The CM shall schedule a transition meeting with the IST to be held at least 24 hours prior to the transition date, during which the transition planning will be confirmed as complete with no outstanding issues.

12. The CM shall forward a copy of all documents used during a transition under this section to the SC, who shall maintain a file for each Individual.

Transitions from the Community (ex - a family home) to a Supervised Group Living (SGL) or Large Private ICF/MR (LP ICF/MR):

1. Individuals shall not visit or be admitted to homes that have conditions of participation out of compliance with Indiana State Department of Health regulations.
2. Following completion of the BDDS intake process, eligibility determination, Medicaid eligibility, signature of consent to release of information, and the decision to pursue SGL or LP ICF/MR services, the SC shall process packet delivery to potential providers, and coordinate provider selection.
3. The SC shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
4. The SC shall ensure that each individual participates in a PCP process as part of the transition and that an ISP is developed that adequately addresses the health, welfare and support needs of the individual prior to the transition occurring.
5. The SC shall schedule a pre-transition conference with the individual, the individual's legal representative if indicated, and the provider, during which a transition plan is prepared using the BDDS Transition Plan form that includes responsible parties and due dates for specific tasks.
6. The SC shall be responsible for:
 - a. entering information on the BDDS Transition Plan form;
 - b. monitoring and documenting implementation of the BDDS transition plan; and
 - c. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
7. The SC shall complete an on-site BDDS Transition Pre-Post Monitoring Checklist form and ensure that prior to the transition occurring:
 - a. all items numbered 1 through 26 are scored; and
 - b. no "Hold" item as identified on the form is marked "NO".
8. The SC shall sign approval on the Residential Approval Form (RAF).

Transitions from State Operated Facilities (SOF), Nursing Facilities (NF), Children's Facilities (CF), SGLs, or LP ICF/MRs to Supported Living (SL) Community Settings:

1. Following BDDS' completion of the BDDS intake process, eligibility determination, ICAP referral, Medicaid eligibility, signature of consent to release of information, and the decision to pursue SL services funded by the DD or Autism waiver, the SC shall make a referral for Case management services to the state vendor for case management.
2. The SC shall request the sending facility's individualized support team to prepare and return a referral packet that contains:

- a. an updated individual master treatment plan, or similar document, ensuring it contains information comparable to the information contained in an ISP;
 - b. behavioral support plans;
 - c. health risk plan(s);
 - d. listing of the individual's medications and reason for each medication;
 - e. a BDDS Supplemental Transition Information 7-1-09 form (Attached);
3. The SC shall forward all referral packets to the CM.
4. The CM shall make referral packets available to potential providers selected by DDRS.
5. The CM shall refer the individual to providers as needed, from DDRS approved pick lists.
6. The CM shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
7. The CM shall complete a Plan of Care/Cost Comparison Budget.
8. An individual transitioning from the Department of Child Services to a SL setting shall utilize any independent living funds available, prior to requesting community transition funds.
9. The CM shall schedule a pre-transition conference with the individual, the individual's legal representative if indicated, the sending facility, the SC and all other selected providers, during which a transition plan is prepared using the BDDS Transition Plan form.
10. The CM shall ensure that each individual has an updated:
 - a. ISP;
 - b. Health Screening Inventory (HSI);
 - c. Behavioral support plan(s), as indicated; and
 - d. Risk plans, using the BDDS Risk Plan template (Attached).prior to any transition occurring.
11. The SC shall be responsible for:
 - a. entering information on the BDDS Transition Plan form; and
 - b. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
12. The CM shall be responsible for:
 - a. monitoring and documentation implementation of the BDDS transition plan; and
 - b. providing information and updates to SC regarding BDDS transition plan
13. The CM shall coordinate visits prior to the transition occurring, including:
 - a. provider visits with the individual at the sending facility location;
 - b. visits by the individual to the new SL home.
14. The CM shall ensure the selected SL home is safe and clean via a site visit and satisfactory completion of the EIC 9-13-10 form prior to the transition occurring.
15. The CM shall complete an on-site BDDS Transition Pre-Post Monitoring Checklist form 5 to 7 days prior to the proposed transition, and ensure that prior to the transition occurring:
 - a. all items numbered 1 through 26 are scored; and
 - b. no "Hold" item as identified on the form is marked "NO".
16. The CM shall schedule an exit transition meeting including the SC and the new provider to occur at the sending facility when all requirements for transition have been met, during which a detailed inventory of the individual's belongings and any additional documents relevant to the individual's training or health and welfare not yet provided are transferred to the new provider.

17. The CM shall forward a copy of all documents used during a transition under this section to the SC, who shall maintain a file for each Individual.

Transitions from State Operated Facilities (SOF), Nursing Facilities (NF), Children's Facilities (CF), SGLs, or LP ICF/MRs to Supervised Group Living Settings:

1. An individual shall not visit or be admitted to homes that have conditions of participation out of compliance with Indiana State Department of Health regulations.
3. The SC shall ensure BDDS's completion of the BDDS intake process, signature of consent to release information, and eligibility determination.
4. The SC shall request the sending facility's individualized support team to prepare and return a referral packet that contains:
 - a. an updated individual's master treatment plan, or similar document, ensuring it contains information comparable to the information contained in an ISP;
 - b. behavioral support plans;
 - c. health risk plan(s);
 - d. listing of the individual's medications and reason for each medication;
 - e. a BDDS Supplemental Transition Information 7-1-09 form;
5. The SC shall make referral packets available to potential providers selected by DDRS.
6. The SC shall schedule a pre-transition conference with the individual, the individual's legal representative if indicated, the sending facility, and all other selected providers, during which a transition plan is prepared using the BDDS Transition Plan form.
7. The SC shall ensure that each individual has an updated:
 - a. ISP, or similar document;
 - b. Behavioral support plan(s), as indicated; and
 - c. Risk plans, using the BDDS Risk Plan template or similar document,prior to any transition occurring.
8. The SC shall be responsible for:
 - a. entering information on the BDDS Transition Plan form;
 - b. monitoring and documenting implementation of the BDDS transition plan; and
 - c. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
9. The SC shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
10. The SC shall coordinate visits prior to the transition occurring, including:
 - a. new provider visits with the individual at the sending facility location;
 - b. visits by the individual to the new SGL home.
11. The SC shall complete an on-site BDDS Transition Pre-Post Monitoring Checklist form 5 to 7 days prior to the proposed transition, and ensure that prior to the transition occurring:
 - a. all items numbered 1 through 26 are scored; and
 - b. no "Hold" item as identified on the form is marked "NO".

12. The SC shall schedule an exit transition meeting at the sending facility including the new provider when all requirements for transition have been met, during which a detailed inventory of the individual's belongings and any additional documents relevant to the individual's training or health and welfare not yet provided, are transferred to the new provider.

Change of Residential Provider with Change of Address:

1. The decision to change residential provider and residence must be discussed and agreed upon during an IST meeting called by the CM.
2. The CM shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
3. The CM shall provide the individual with a pick list of DDRS approved providers for selection of a new provider.
4. The CM shall ensure the Individual or their legal representative sign consent to release information forms.
5. The CM shall call a pre-transition conference with the IST, including both current and future residential providers, following selection of a new provider by the individual to plan the transition.
6. The SC shall be responsible for:
 - c. entering information on the BDDS Transition Plan form; and
 - d. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
7. The CM shall be responsible for:
 - c. monitoring and documentation implementation of the BDDS transition plan; and
 - d. providing information and updates to SC regarding BDDS transition plan
8. The SC will document the intent to change providers within the DART case activity notes.
9. The individual's ISP shall be updated by the CM, following the pre transition conference.
10. The CM shall update the CCB to reflect the vendor change and proposed transition date. A new CCB must be approved prior to the transition occurring.
11. The CM shall ensure the selected home is safe and clean via a site visit and satisfactory completion of the EIC form prior to the transition occurring.
12. The SC must approve the completed EIC form prior to the transition occurring.
13. A BDDS Transition Pre-Post Monitoring Checklist form must be completed by the CM, with "yes" responses to items 1 through 26 required prior to the transition occurring.
14. The SC shall approve or deny the transition by documenting all information as required in case files, DART, and/or special databases.
15. The CM shall schedule a transition meeting with the IST to be held at least 24 hours prior to the transition date, during which the transition planning will be confirmed as complete with no outstanding issues.
16. The CM shall forward a copy of all documents used during a transition under this section to the SC, who shall maintain a file for each Individual.

Change of Residential Provider without a Change of Address:

1. The decision to change residential provider but not residence must be discussed and agreed upon during an IST meeting called by the CM.
2. The CM shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
3. The CM shall provide the individual with a pick list of DDRS approved providers for selection of a new provider.
4. The CM shall ensure the Individual or their legal representative sign consent to release information forms.
5. The CM shall call a pre-transition conference with the IST, including both current and future residential providers, following selection of a new provider by the individual, during which a BDDS Transition Plan form will be developed.
5. The SC shall be responsible for:
 - a. entering information on the BDDS Transition Plan form;
 - b. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
6. The CM shall be responsible for:
 - a. monitoring and documentation implementation of the BDDS transition plan; and
 - b. providing information and updates to SC regarding BDDS transition plan
7. The SC will document the intent to change providers within the DART case activity notes.
8. The individual's ISP shall be updated by the CM, following the pre transition conference.
9. The CM shall update the CCB to reflect the vendor change and proposed transition date. A new CCB must be approved prior to the transition occurring.
10. A BDDS Transition Pre-Post Monitoring Checklist form must be completed by the CM, with "yes" responses to items 1 through 26 required prior to the transition occurring.
11. The SC shall approve or deny the transition by documenting all information as required in case files, DART, and/or special databases.
12. The CM shall schedule a transition meeting with the IST to be held at least 24 hours prior to the transition date, during which the transition planning will be confirmed as complete with no outstanding issues.
13. The CM shall forward a copy of all documents used during a transition under this section to the SC, who shall maintain a file for each Individual.

Change of address, while keeping the Same Residential Provider and IST:

1. An individual's wish to change residence, but keep the same residential provider and IST must be discussed and agreed upon during an IST meeting called by the CM.
2. The CM shall ensure the individual has signed a Freedom of Choice Form prior to any transitions taking place.
3. The BDDS SC must be notified of the intent to change residences prior to any actions being initiated by the CM or any other party.
4. If the new residence involves housemates, the CM shall ensure that visits to the residence, including meeting and spending time with prospective housemates, occurs is documented as problem free.

5. The CM shall ensure and document that there is consent to the new living arrangement from the individual's and the prospective housemates' legal representatives, prior to the transition occurring.
6. The CM shall call a pre-transition conference with the IST for purposes of planning the transition and preparation of a BDDS Transition Plan form.
7. The SC shall be responsible for:
 - a. entering information on the BDDS Transition Plan form;
 - b. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
8. The CM shall be responsible for:
 - a. monitoring and documentation implementation of the BDDS transition plan; and
 - b. providing information and updates to SC regarding BDDS transition plan
9. The CM shall ensure the selected SL home is safe and clean via a site visit and satisfactory completion of the EIC form prior to the transition occurring.
10. The SC must approve the completed EIC prior to the transition occurring.
11. The individual's ISP shall be updated by the CM, following the pre transition conference.
12. A BDDS Transition Pre-Post Monitoring Checklist form must be completed by the CM, with "yes" responses to items 1 through 26 required prior to the transition occurring.
13. The SC shall approve or deny the transition by documenting all information as required in case files, DART, and/or special databases.
14. The CM shall forward a copy of all documents used during a transition under this section to the SC, who shall maintain a file for each Individual.

Change of Residence with Same Residential Provider, but Moving to a New BDDS District:

1. An individual's wish to change residence and keep the same residential provider, but move to a new BDDS district must be discussed and agreed upon during an IST meeting called by the CM.
2. The BDDS SC must be notified of the intent to change residences prior to any actions being initiated by the CM or any other party.
3. The CM shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
4. The SC from the sending BDDS district and the SC from the receiving BDDS district must have close communication throughout the transition process.
5. The CM from the sending district, shall:
 - a. schedule visits with the individual and the prospective new home; and
 - b. schedule transition conferences with the receiving SC and CM.
6. The CM from the receiving district shall:
 - a. complete an EIC form at the new residence and forward it to the SC from the sending district;
 - b. complete the BDDS Transition Pre-Post Monitoring Checklist form, items 1 through 26 and forward it to the SC from the sending district;
7. The SC from the sending district shall be responsible for:
 - a. entering information on the BDDS Transition Plan form;
 - b. approving the EIC form and the BDDS Transition Pre-Post Monitoring Checklist form;

- c. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
8. The CM shall be responsible for:
 - a. monitoring and documentation implementation of the BDDS transition plan; and
 - b. providing information and updates to SC regarding BDDS transition plan
9. If the new residence involves housemates, the CM from the sending district shall ensure that visits to the residence, including meeting and spending time with prospective housemates, occurs and is documented as problem free prior to the transition occurring.
10. The CM from the sending district shall ensure and document that there is consent to the new living arrangement from the individual's and the prospective housemates' legal representatives, prior to the transition occurring.
11. The individual's ISP shall be updated by the CM from the sending district, following the pre transition conference.
12. The CM shall schedule a transition meeting with the IST to be held at least 24 hours prior to the transition date, during which the transition planning will be confirmed as complete with no outstanding issues.
13. The CM shall forward a copy of all documents used during a transition under this section to the SC, who shall maintain a file for each Individual.

Change of SGL or LP ICF/MR Residence:

1. Individuals shall not visit or be admitted to homes that have conditions of participation out of compliance with Indiana State Department of Health regulations.
2. Upon notification from the individual or their legal representative if indicated, or the provider that the individual intends to move to a new ICF/MR residence, the SC shall submit a new Level of Care (LOC).
3. Upon the SC receiving an approved new LOC, the SC shall schedule a pre transition conference during which the SC shall develop a transition plan using the BDDS Transition Plan form.
4. The SC shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
5. A BDDS Transition Pre-Post Monitoring Checklist form must be completed by the SC, with "yes" responses to items 1 through 26 & 28 required prior to the transition occurring.
6. The SC shall be responsible for:
 - a. entering information on the BDDS Transition Plan form;
 - b. monitoring and documenting implementation of the BDDS transition plan; and
 - c. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
7. Following the move to the new home, the SC shall complete the residential approval form within two days of being admitted to the new home.

Transitions to a Nursing Facility for a Long Term Stay from a BDDS Residential Setting:

1. Upon the need for an individual to enter a nursing facility being identified, the SC shall call a team meeting during which a transition plan is developed.
2. The SC shall be responsible for:
 - a. entering information on the BDDS Transition Plan form;
 - b. monitoring and documenting implementation of the BDDS transition plan; and
 - c. not allowing the transition to occur until all items on the BDDS transition plan are completed, as confirmed by the SC's signature on the form.
3. The CM shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
4. The SC shall ensure Medicaid eligibility and that the individual meets nursing home LOC.
5. The SC may visit an individual recently transitioned into a nursing home within 30 days after placement to ensure a smooth transition.
6. If individual is receiving waiver support, the CM will be responsible for completion of Data Entry Worksheet to terminate waiver.

Change in Other Waiver Service Provider:

1. Should an individual request a change in service provider the BDDS SC must be immediately notified.
2. The CM will ensure the individual is provided with a pick list and is assisted with selecting a new service provider.
3. The CM shall ensure the individual, or their legal representative if indicated, sign a consent form allowing release of information.
4. The CM shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
5. The individual or their legal representative if indicated, or the Case Manager shall return the pick list to the SC.
6. Upon receipt of the pick list the SC will enter the intent to change from one provider to another in DART case notes.
7. The CM shall update the CCB to reflect a provider change and the date of the provider change.
8. The CCB must be approved prior to the change of providers occurring.
9. The CM shall forward a copy of all documents used during a transition under this section to the SC, who shall maintain a file for each Individual.

Transition to an Extensive Support Home (ESN):

1. Individuals shall not visit or be admitted to homes that have conditions of participation out of compliance with Indiana State Department of Health regulations.
2. An individual must meet ESN LOC to be considered for this placement.

3. To be considered to provide services, ESN staffing is required to be 3 on days, 3 on evenings, and 2 on nights (3:3:2).
4. The BDDS SC, District Manager, Field Service Director, and the ESN Director shall review referral packets and determine appropriateness for ESN openings.
5. Once an individual is identified for an ESN home by BDDS, a referral packet shall be sent to the provider by the SC for their decision regarding meeting the individual's needs.
6. The CM shall ensure the individual has signed a Freedom of Choice Form prior to any transition taking place.
7. A BDDS Transition Pre-Post Monitoring Checklist form must be completed by the SC, with "yes" responses to items 1 through 26 required prior to the transition occurring.
8. BDDS staff shall interview ESN staff on all shifts to ensure their knowledge of the individual's health and medical risk issues, ISP, meaningful day and behavioral needs and strategies. A minimum number of staff from all shifts shall be interviewed. BDDS will select the staff to interview.
9. BDDS staff shall receive the staff roster, training records and required staff certifications prior to the pre transition monitoring.

Emergency Transitions:

1. Should an individual need to vacate their residence as a consequence of fire, flood, utility disruption, or other similar event rendering the residence uninhabitable:
 - a. the provider shall contact the District Manager and CM for individuals in SL within 24 hours and describe the emergency and the transition that occurred in order to protect the individual's health and welfare; and
 - b. CM shall follow up by scheduling a team meeting to discuss the emergency transition and to plan steps to ensure the individual's needs are addressed for individuals in SL.
 - c. For all other settings, BDDS shall follow up by scheduling a team meeting to discuss the emergency transition and to plan steps to ensure the individual's needs are addressed

Approved by: Julia Holloway, DDRS Director -